



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/773,373	02/05/2004	Chien-Wei Li	H0001160-1170 C1	9781

7590 08/11/2004

Honeywell International, Inc.
Patent Services AB-2B
101 Columbia Road
P.O. Box 2245
Morristown, NJ 07962-2245

EXAMINER

MCNEIL, JENNIFER C

ART UNIT	PAPER NUMBER
----------	--------------

1775

DATE MAILED: 08/11/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No. 10/773,373	Applicant(s) LI ET AL.	
	Examiner Jennifer C McNeil	Art Unit 1775	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 05 February 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-29 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-23 and 25-29 is/are rejected.
- 7) ☒ Claim(s) 24 is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Claim Rejections - 35 USC § 112

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claims 1-22, and 25-29 are rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the written description requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention. The limitations of "wherein the amount of tantalum oxide is greater than about 40 mol%", and the limitation "wherein a presence of CaO is eliminated" are considered to be new matter. The specification does not appear to provide support for these limitations. Specifically, page 4, paragraph 13 refers to the additive being present in an amount of up to 50 mol%, and paragraph 14 refers to alumina being present in an amount of up to 50 mol%. From this the amount of tantalum oxide would necessarily be at least 50 mol%. Please clarify.

The limitation of elimination of CaO is not found in the specification. Please delete the limitation or provide the passages of the specification where this limitation is supported.

Double Patenting

The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the 'right to exclude' granted by a patent and to prevent possible harassment by multiple assignees. See *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and, *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent is shown to be commonly owned with this application. See 37 CFR 1.130(b).

Art Unit: 1775

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

Claim 23 is provisionally rejected under the judicially created doctrine of obviousness-type double patenting as being unpatentable over claim 26 of copending Application No. 09/990,640. Although the conflicting claims are not identical, they are not patentably distinct from each other because the subject matter of the Markush group of instant claim 23 is commensurate with that of claim 26. Specifically, the instant claim refers to an additive in addition to the tantalum oxide and lanthanum oxide. The additive may include alumina. The copending application contains these same limitations; therefore the claims cover the same subject matter. It would have been obvious to one of ordinary skill that alumina is one of the choices for the additive of the instant claim 23, which is consistent with copending claim 26.

This is a provisional obviousness-type double patenting rejection because the conflicting claims have not in fact been patented.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1, 2, 5-7, 11, 12, 21, and 22 are rejected under 35 U.S.C. 102(b) as being anticipated by Matsudaira (US 4,670,355). Matsudaira teaches an electroluminescent panel comprising a glass substrate and a layer comprising tantalum pentoxide and aluminum oxide

Art Unit: 1775

over the glass substrate. The glass substrate may be aluminosilicate glass. Regarding the limitation of "amount of tantalum oxide is greater than about 40 mol%", Matsudaira teaches a dielectric film having tantalum oxide at 95, 80, and 50 wt% (Table 1). This is considered to be greater than 40 mol%. Regarding the limitation wherein a "presence of CaO is eliminated", Matsudaira does not teach the presence of CaO, therefore it is considered to not be present.

Regarding claims 2 and 5, the additive is alumina.

Regarding claims 6 and 7, examples of alumina with 5, 20, and 50 wt% are given in Table

1. This is considered to meet the limitation of about 1-50 mol%.

Regarding claims 21 and 22, as stated above, the tantalum oxide may be present in amounts up to 95 wt%.

Claims 23 is rejected under 35 U.S.C. 102(b) as being anticipated by Iwamoto et al (US 4,976,806). Iwamoto teaches a bonding composition for ceramics comprising a metal oxide melt. The bonding composition comprises CaO, SiO₂, or Al₂O₃, and a metal selected from a group that includes Ta₂O₅. The bonding component is coated on a silicon-bases substrate.

The tantalum oxide may be present in an amount of 5-60 wt%, which is considered to overlap with the claimed ranges.

Allowable Subject Matter

Claim 24 is objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

Response to Arguments

Applicant submitted arguments with the filing of this application.

Regarding the limitations of lanthanum oxide, the arguments are not commensurate in scope with the majority of the new claims.


Regarding Skoog, applicant argues that the molar percentage of tantalum oxide present in the coating would be 13.3 mol%, assuming the highest value taught by Skoog. The Skoog reference is not applied to the claims due to this analysis of the conversion of wt% to mol%.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jennifer C McNeil whose telephone number is 571-272-1540. The examiner can normally be reached on 9AM-6PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Deborah Jones can be reached on 571-272-1535. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).


Jennifer McNeil
Primary Examiner